DOCUMENT RESUME

ED 046 418 LI 002 434

AUTHOR	Harrigan, Joan
TITLE	Suggested Long-Range Planning Format for Colorado Libraries.
INSTITUTION	Colorado State Library, Denver.
PUB DATE	70
NOTE	14p.
EDRS PRICE	EDRS Price MF-$0.65 HC-$3.29
DESCRIPTORS	*Library Planning, *Program Budgeting, *Program Planning, *State Libraries, Systems Analysis
IDENTIFIERS	*Colorado

ABSTRACT

Long-range planning involves the identification of priority programs and services and the detailing of the necessary resources (staff, equipment, facilities and materials) required to implement these programs and services. This report discusses what is involved in this process and provides a fundamental understanding of the following three basic concepts: (1) What are the program goals and performance objectives? (2) What is the systems analysis approach? and (3) What is the planning process? Also included are: (1) sample request forms, (2) 1972 Support Program Budget Request Format (with explanations), (3) 1972 Support Program Budget Request Format (without explanations) and (4) a procedural guide. (MF)

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SUGGESTED LONG-RANGE PLANNING FORMAT FOR COLORADO LIBRARIES

by
Joan Harrigan, Director
Planning, Research, Evaluation

COLORADO DEPARTMENT OF EDUCATION
BYRON W. HANSFORD, COMMISSIONER
DENVER - 1970

OFFICE OF LIBRARY SERVICES (COLORADO STATE LIBRARY)
JAMES M. MEEKS, ASSISTANT COMMISSIONER
1362 LINCOLN STREET
DENVER, COLORADO 80203

LI 002434

(First draft--11/16/70)

Suggested Long-Range Planning Format for Colorado Libraries

by Joan Harrigan, Director
Planning, Research, Evaluation
Colorado State Library

Long-range planning involves the identification of priority programs and services and the detailing of the necessary resources--staff, equipment, facilities and materials--required to implement these programs and services. Involved in this process is a fundamental understanding of three basic concepts:

1) What are program goals and performance objectives?
2) What is the systems analysis approach?
3) What is the planning process?

What are program goals and performance objectives?

Program goals are broad, general statements of accomplishments to be attained. Examples: to improve library management, to make state documents available for reference and circulation, to improve reference services.

A performance objective tells why something is to be done, who is going to do it, under what conditions the action will be undertaken, what action will be undertaken, and how to measure the degree of success attained from the action taken. These 5 parts of a performance objective are called rationale, performer, condition, performance and standards or criteria of success. All performance objectives must contain 3 parts--performer, performance and standards. They may or may not contain a rationale and/or conditions of performance. The following illustration shows the 5 parts of a performance objective and will serve as a pattern for writing such objectives:

(1) Rationale: To achieve such and such	--To collect the full reward,
(2) Performer: (required) the organization, group or individual	--the bounty hunter,
(3) Conditions: under such and such conditions	--without the aid of a second party,
(4) Performance: (required) will do such and such	--must bring in Bad Bart
(5) Standards: (required) to such and such a degree of excellence.	--dead or alive by July 4, 1846.

The verb in the performance statement is the key to stating a performance objective in observable, measurable terms. The verb should be a definite action word or one which indicates measurability. Vague verbs--such as be able to, be capable of, know, appreciate, understand, be interested in--should be avoided. Examples of some good verbs are: increase, improve, expand, extend, demonstrate, share, cooperate. When criteria of success are applied to the latter set of verbs, then measurability is possible. Criteria of success include such factors as time limit, number, percentage, proportion and acceptable deviation from normal.

It is also important to understand the relationship between objectives and goals. It is a hierarchial relationship with the goal appearing at the top of the hierarchy as a broad, general statement. The objective is something that must be done in order to accomplish the goal. Each goal may have several objectives of equal importance in attaining the goal. Further, each objective can be broken down into functions or activities of equal importance in attaining the objective. Each function can be broken down into subfunctions or subactivities of equal importance in attaining the function. The last two breakdowns are into tasks and subtasks. The following ladder illustrates this hierarchial arrangement:

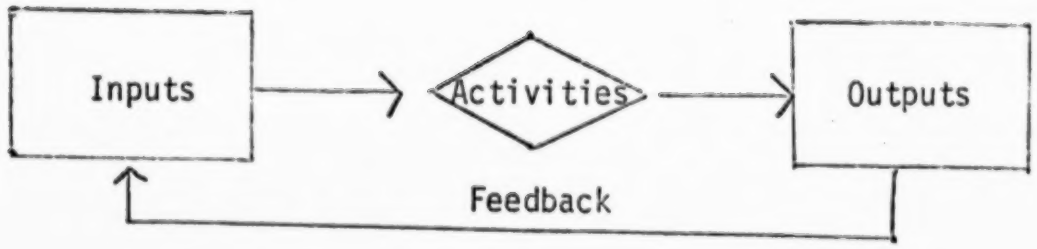
To accomplish Z Y must be done	Goal Objective
To accomplish Y X must be done	Function or Activity Subfunction or Subactivity
To accomplish X W must be done	Task Subtasks

In the initial development and implementation of a program based on performance objectives, one will seldom find it necessary to go any further down the ladder than the function or activity level. As experience increases understanding of the process, then programs will be described by further extension downward on the ladder.

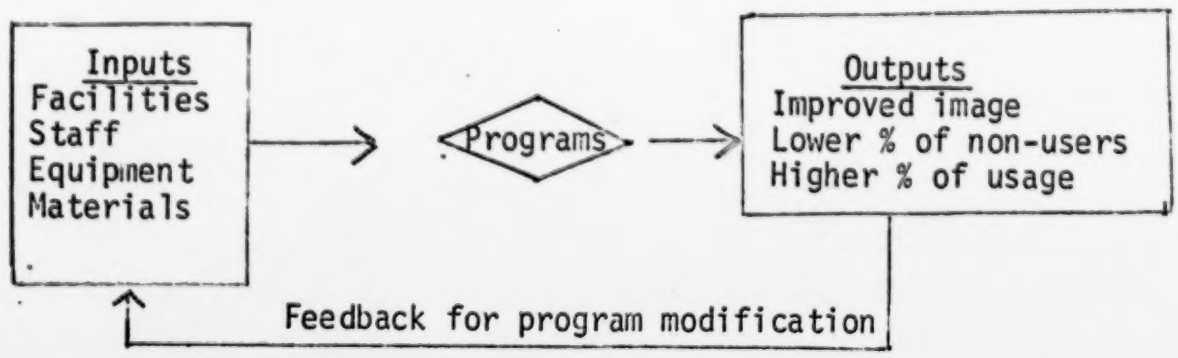
It is also customary to provide budget figures at the program level in the beginning. As implementation continues, budget figures are broken down further by function or activity and still later by task. When budget breakdowns by program are made, certain recurring expenditures will appear throughout the activity level and the task level. Such information is useful in determining actual costs of specific programs, in arriving at budget allocations for the various administrative units and in identifying more efficient administrative patterns.

What is the systems analysis approach?

Systems analysis is based on the hypothesis that inputs result in activities which produce outputs or measurable results. Using selected initial outputs to modify the inputs which in turn change the activities and the succeeding outputs is called feedback. The following diagram illustrates the systems analysis approach:



Now let us apply this principle to library operations. Inputs consist of staff, facilities, equipment, and materials. The ways in which these inputs are used produce activities such as the various library service programs for the library's clientele. These activities in turn determine the outputs or measurable results such as reaching a higher percentage of potential users, increased usage of the library's resources--both human and non-human--and increased recognition of the importance of the library to its community. The following diagram translates the systems analysis approach into library terminology:



What is the planning process?

The first rule to be observed in the planning process is that library programs and services must be based on present and projected community needs. Because each community is a unique entity, needs must be determined for each community. It is also important to define the term community. The local public library plans in terms of its city, the school in terms of its individual schools and its total district, the academic library for its institution and the special library for its agency. The system plans for the area encompassed in its service boundaries and the Colorado State Library in terms of the entire State. In the planning process adjustments must be made among the various levels to insure meeting citizen needs at all levels.

Step 1 in the planning process is the describe Where are we now? This starts with a description of the community in its current status based on information from a variety of sources such as census reports, data from the State Planning Commission, school census and enrollment data, interviews with local newspaper editors and community leaders representing all factions within the community, data on the economic base of the community and an assessment of the political situation. Then the current library goals should be stated and the current library objectives should be written in performance terms. Finally current results should be

described, and an analysis of any discrepancies existing between current community needs and current library goals and objectives set forth.

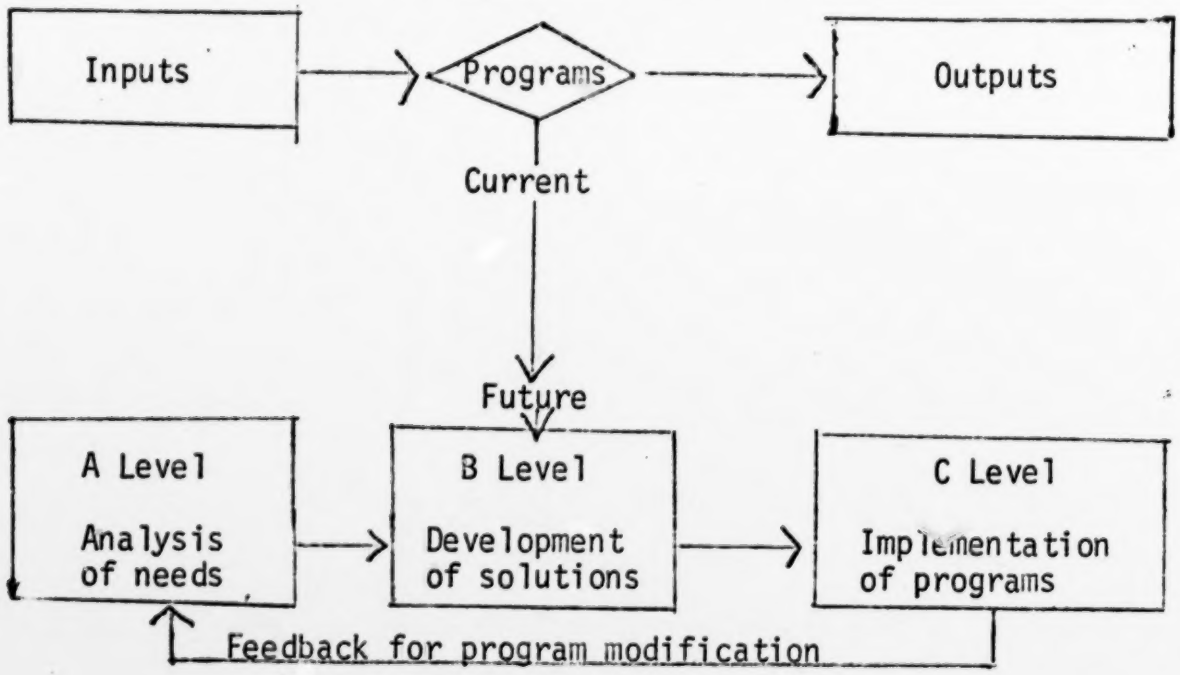
Step 2 is to determine Where do we want to go? Information concerning trends and possible changes within the community can be obtained from the same sources suggested in Step 1. For example, is a new industry moving into the area? If so, data will be needed on such factors as the number of employees, their general socio-economic level, probable residential location of employees, location of the new industry and the anticipated time schedule. Once a description of the community as it will probably be like five years from now has been developed, the next step is to generate library goals and library objectives (stated in performance terms) to be achieved within the 5-year period. At this point a range of possible solutions is generated.

The differences between Where are we now? and Where do we want to go? are defined as needs. This needs analysis is actually a problem definition process. Step 3 is the problem-solving step, How do we get there? Priority programs and the best methods for implementation are identified, and goals and performance objectives for each program are written. Each program is set down separately in writing but within the general framework of identified goals. The final step in this phase is the determination of resources necessary to carry out the program. It is important to note that the inputs--staff, equipment, facilities and materials--are considered only after the program has been defined. At this point limitations on inputs determine how much of the program can be implemented during the first year. In succeeding years, increased inputs are justified through expansion of the program into full implementation and by results achieved the first year as defined by the performance objectives for each program. This process establishes what is called a cost/benefit relationship.

Once a 5-year plan has been developed and has been operational for a year, it is necessary to assess results achieved in each program for the past year, review and modify objectives for the remaining 4 years of the plan, and add another year's program objectives. In this way, there will be a continuing program evaluation and modification which will meet changing needs and which will maintain a 5-year plan on hand at all times. The table below summarizes the planning process:

Needs Analysis (Problem/Discrepancies Analysis)		Implementation Plan (Solution Analysis)
WHERE ARE WE?	WHERE DO WE WANT TO GO?	HOW DO WE GET THERE?
What is community like now?	What will it be like in 5 years?	Identify priority programs.
Current library goals?	Future library goals?	Select implementation method.
Current objectives?	Future objectives?	Write performance objectives for each program.
Current results? Discrepancies between community needs and library goals and objectives?	Does new set of library goals and objectives eliminate discrepancies?	Detail necessary resources required to implement each program.
	Range of solutions?	

The following diagram shows how the planning process fits into the systems analysis approach for libraries. The feedback line demonstrates how program evaluations determine changed needs and, therefore, changed inputs and programs to achieve <u>improved</u> outputs or measurable results.



In the past libraries and librarians have operated at the B level which places the library in the position of reacting to change and of being caught in a cultural lag between community demands and library programs. By adding the A and C levels along with feedback, libraries and librarians can manage change rather than reacting to change.

1972 Support Program Budget Request Format
(with explanations)

(System or Library Name)_____
(Goal)_____
Unit:_____
Program #_____(Program name)_____

1. PROGRAM PURPOSE: (See sample request forms in section following this one. This purpose statement is more specific than the overall goal for the entire library program stated above. It is less specific than the goals statements found below.)

2. FISCAL 1970: SELECTED ACCOMPLISHMENTS (See sample request forms)

3. FISCAL 1971: GOALS, OBJECTIVES, ACTIVITIES
   1.0 Statement of Goal #1
      1.1 Statement of Objective (in performance terms)
         1.1.1 Statement of Activity
         1.1.2 Statement of Activity (in performance terms)
         1.1.3 Statement of Activity
         etc.
   2.0 Statement of Goal #2
      2.1 Statement of Objective (in performance terms)
         2.1.1 Statement of Activity
         2.1.2 Statement of Activity (in performance terms)
         2.1.3 Statement of Activity
   3.0 State of Goal #3
      etc.

(The numbering system used above is simply a numerical system of outlining as contrasted with the older system of I, A, 1, a, II, B, 1, b, etc.)

4. FISCAL 1971 BUDGET:

Personal Services (salaries, etc.)	$xxxxxxxxxx.xx
(in full time equivalents)	
Maintenance and Operation	xxxxxxxxxx.xx
(anything that does not fit other 3 categories)	
Travel	xxxxxxxxxx.xx
Capital Outlay (Books, Non-print materials, furniture, office and AV equipment)	xxxxxxxxxx.xx
Total	$xxxxxxxxxx.xx

5. FISCAL 1972: GOALS, OBJECTIVES, ACTIVITIES
   1.0 Statement of Goal #1
      1.1 Statement of Objective (in performance terms)
         1.1.1 Statement of Activity
         1.1.2 Statement of Activity (in performance terms)
         1.1.3 Statement of Activity
         etc. (follow same pattern as in #3 above)

6. FISCAL 1972 BUDGET REQUEST:

Personal Services	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

7. FISCAL 1973-75: GOALS, OBJECTIVES
   1.0 Statement of Goal
      1.1 Statement of Objective

   (A general goal statement is required for the 3-year period. Objective statements in performance terms may or may not be included. New programs, in particular, are difficult to define at the performance objective level this far ahead.)

SAMPLE REQUEST FORM

1972 Support Program Budget Request Format

OFFICE OF LIBRARY SERVICES
IMPROVEMENT OF LIBRARY SERVICES AND FACILITIES
UNIT: ADMINISTRATIVE
PROGRAM #2: PLANNING, RESEARCH AND EVALUATION

1. PROGRAM PURPOSE: To enable the Colorado State Library and local libraries of Colorado to improve the planning and evaluation of their programs by use of a management-by-objectives system based on sound research and decision-making information.

2. FISCAL 1970: SELECTED ACCOMPLISHMENTS
   This program was established in March, 1970, to meet national standards contained in the American Library Association's Standards for Library Functions at the State Level (1970) and the recommendations of the President's National Advisory Commission on Libraries (1969). Inservice training for the director of this program included participation in Colorado Department of Education seminars, work with Colorado Department of Education staff and related course work at the University of Denver. During this 4-month period of Fiscal '70 the functions and responsibilities of this Program were defined and included in the Colorado State Library Reorganization Plan. System design and preparation of source documents to begin the development of an automated program management data base were completed. Preliminary work necessary for the basic design of a Colorado Library Needs Assessment study was completed.

3. FISCAL 1971: GOALS, OBJECTIVES, ACTIVITIES
   1.0 To improve management of library programs
      1.1 By July 1, 1973, the director of Planning, Research and Evaluation will expand services to the Colorado State Library, library systems and local libraries. Attainment will be dependent upon the level of personnel and financial support. Attainment will be measured by the increased numbers of responses to requests for assistance in these areas.
         1.1.1 The program director will produce a printed Library Needs Assessment Study by June 30, 1971.

         1.1.2 The program director will automate the library program management data base as evidenced by production of computer-produced mailing labels and copy for the annual Directory of Colorado Libraries and Librarians by February, 1971.

         1.1.3 The program director will develop a long-range plan format for use by System Librarians. Attainment will be evidenced by the number of Library System programs submitted to Colorado State Library by the end of Fiscal '71 using a standardized planning format.

4. FISCAL 1971 BUDGET:

Personal Services (3/4 professional, 3/4 of 1/2 clerical)	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

5. FISCAL 1972: GOALS, OBJECTIVES, ACTIVITIES

1.0 To improve management of library programs

1.1 Using the results of the Colorado Library Needs Assessment Study, the program director, under the direction of the Assistant Commissioner for the Office of Library Services, will develop a revised 5-year management-by-objectives plan for the Office of Library Services.

1.1.1 The program director will develop a priority list of Colorado Library needs by September, 1971.

1.1.2 Using the priority list of library needs, the Colorado State Library Unit Directors will revise their 5-year unit plans by December, 1971.

1.1.3 By June, 1972, the program director will expand the program management data base by identifying needed data concerning Colorado librarians, collecting the data and entering it on the computer. A printed summary of findings will provide evidence of attainment.

1.1.4 The program director will develop a program evaluation design using evaluation measures such as those identified by the Unit Directors in their revised plans. This evaluation design will be finalized by June, 1972.

1.1.5 By June, 1972, the program director will identify areas for further research and develop a written plan for completion of necessary studies.

6. FISCAL 1972 BUDGET REQUEST:

Personal Services	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

7. FISCAL 1973-75: GOALS, OBJECTIVES

1.0 To expand program capabilities to serve Library Systems and local libraries.

1.1 By July, 1973, the program director will have developed a long-range program plan designed to achieve library management-by-objectives for all libraries in the State. Attainment will be measured by the increasing numbers of libraries operating under this management system.

SAMPLE REQUEST FORM

1972 Support Program Budget Request Format

OFFICE OF LIBRARY SERVICES
IMPROVEMENT OF LIBRARY SERVICES AND FACILITIES
UNIT: ADMINISTRATIVE
PROGRAM #3: PUBLICATIONS

1. PROGRAM PURPOSE: To encourage innovative practices, foster professional development of library personnel, and promote more effective library services.

   To inform Colorado librarians of new developments in librarianship.

   To keep the public and the legislature advised of the status and needs of Colorado libraries.

2. FISCAL 1970: SELECTED ACCOMPLISHMENTS

   The Agency published 12 monthly issues of the Colorado State Library Newsletter and distributed copies to all librarians and library related personnel in the state--3,000 copies monthly. It also published More Materiales Tocante Los Latinos which was distributed to all libraries in the state (approximately 1,000). Additional copies were supplied to individual teachers and librarians and quantity sets were provided for workshops dealing with the Mexican American (approximately 2,000). Plans were developed to automate the monthly mailing routine and to simplify the annual production of a Directory of Colorado Libraries and Librarians.

3. FISCAL 1971: GOALS, OBJECTIVES, ACTIVITIES

   1.0 To disseminate library related information.

   1.1 By July 1, 1973, the Colorado State Library will expand its publications program into a comprehensive public information service serving all Colorado libraries. Attainment will be dependent upon the addition to the Colorado State Library staff of a public information specialist. Attainment will be measured by the increased number of publications issued, the broader use of mass media and the expanded consultative services provided to Colorado libraries.

   1.1.1 The director of Planning, Research and Evaluation will maintain the current level of this program by continuing to publish 12 monthly issues of the Colorado State Library Newsletter, an annual Directory of Colorado of Colorado Libraries and Librarians and minor publications possible within staff limitations.

   1.1.2 By June, 1971, the director of Planning, Research and Evaluation will write a plan for an expanded Public Information Program for inclusion in the Fiscal '73 budget request.

4. FISCAL 1971 BUDGET:

Personal Services	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

5. FISCAL 1972: GOALS, OBJECTIVES, ACTIVITIES

1.0 To disseminate library related information.

1.1 The director of Planning, Research and Evaluation will maintain the current level of this program by continuing to publish 12 monthly issues of the Colorado State Library Newsletter, and annual Directory of Colorado Libraries and Librarians and minor publications possible within staff limitations.

6. FISCAL 1972 BUDGET REQUEST:

Personal Services	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

7. FISCAL 1973-75: GOALS, OBJECTIVES

1.0 To implement an expanded Public Information Program.

1972 SUPPORT PROGRAM BUDGET REQUEST FORMAT
(without explanations)

(SYSTEM OR LIBRARY NAME)_____
(GOAL)_____
Unit:_____
Program #_____: (PROGRAM NAME)_____

1. PROGRAM PURPOSE:

2. FISCAL 1970: SELECTED ACCOMPLISHMENTS

3. FISCAL 1971: GOALS, OBJECTIVES, ACTIVITIES
   - 1.0 Statement of Goal #1
     - 1.1 Statement of Objective
       - 1.1.1 Statement of Activity
       - 1.1.2 Statement of Activity
       - 1.1.3 Statement of Activity
       - etc.
   - 2.0 Statement of Goal #2
     - 2.1 Statement of Objective
       - 2.1.1 Statement of Activity
       - 2.1.2 Statement of Activity
       - 2.1.3 Statement of Activity
       - etc.
   - 3.0 Statement of Goal #3
     - etc.

4. FISCAL 1971 BUDGET:

Personal Services	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

5. FISCAL 1972: GOALS, OBJECTIVES, ACTIVITIES
   - 1.0 Statement of Goal #1
     - 1.1 Statement of Objective
       - 1.1.1 Statement of Activity
       - 1.1.2 Statement of Activity
       - 1.1.3 Statement of Activity
       - etc.

6. FISCAL 1972 BUDGET REQUEST:

Personal Services	$xxxxxxxx.xx
Maintenance and Operation	xxxxxxxx.xx
Travel	xxxxxxxx.xx
Capital Outlay	xxxxxxxx.xx
Total	$xxxxxxxx.xx

7. FISCAL 1973-75: GOALS, OBJECTIVES
   - 1.0 Statement of Goal
     - 1.1 Statement of Objective

PROCEDURAL GUIDE

1. Describe current library programs and services in terms of goals and performance objectives. (What are you now doing, for whom, with what benefits?)

2. Analyze current community status and write a description of it.

3. List any discrepancies between current library goals and community needs.

4. Develop written description of projected status of your community five years from now.

5. Define your library programs and services as they should be five years from now. Use goals and performance objectives. (Do new programs eliminate any discrepancies found in step 3 above?)

6. Develop a progression of 4 steps which will enable you to phase into the desired future programs.

7. State these steps on a year-by-year basis in goals and performance objectives. Estimate budget figures.

11/16/70
JH:jr